STIC
Scientific and Technical Information Center

Search Report
EIC 3600

To: Examiner SUSANNA MEINECKE
DIAZ
Location: KNX 4A55
Art Unit: 3692
Date: 03/20/09
Case Serial Number: 11/373479

From: Matthew Hogan
Location: EIC3600
KNX 4B71
Phone: (571) 272-6674
Matthew.Hogan@uspto.gov

Search Notes

Dear Examiner MEINECKE DIAZ:

Please find attached the results of your search for the above-referenced case. The search was conducted in Dialog, ProQuest and EBSCOhost.

I have listed *potential* references of interest in the first part of the search results. However, please be sure to scan through the entire report. There may be additional references that you find useful.

Please note that the results, after the potential references of interest, proceed through an Inventor search (which is provided without regard to priority date) and then to results in both Abstract and Full Text databases (which are more directly screened for priority date).

If you have any questions about the search, or need a refocus, please do not hesitate to contact me.

Thank you for using the EIC, and we look forward to your next search!

I. Potential References of Interest

5/5,K/10 (Item 5 from file: 2) Links
INSPEC
(c) 2009 Institution of Electrical Engineers. All rights reserved.
06697221   **INSPEC Abstract Number:** C9710-1290D-044
Title: Optimum strategies for opening trading in options
Author Rickard, J.T.; Lupien, W.A.
Author Affiliation: OptiMark Technol. Inc., Durango, CO, USA
Conference Title: Conference Record of Thirtieth Asilomar Conference on Signals, Systems and Computers (Cat. No.96CB36004)   **Part** vol.1   p. 451-8 vol.1
Editor(s): Singh, A.
Publisher: IEEE Comput. Soc. Press , Los Alamitos, CA, USA
Publication Date: 1997 **Country of Publication:** USA   2 vol. xxiii+1416 pp.
ISBN: 0 8186 7646 9   **Material Identity Number:** XX97-01333
U.S. Copyright Clearance Center Code: 1058-6393/97/$10.00
Conference Title: Conference Record of The Thirtieth Asilomar Conference on Signals, Systems and Computers
Conference Sponsor: Naval Postgraduate School, Monterey, CA; San Jose State Univ.; IEEE Signal Process. Soc
Conference Date: 3-6 Nov. 1996   **Conference Location:** Pacific Grove, CA, USA

Language: English   **Document Type:** Conference Paper (PA)
Treatment: Theoretical (T)

Abstract: When opening multiple series of options in a common underlying security, variations in public bids and offers across the series, and variations in the price of the underlying security during the time required to cycle through the opening, produce discrepancies in opening prices with respect to a single implied volatility. Ideally, all option series should be opened simultaneously at a price that corresponds reasonably well to a consistent set of implied volatilities, optimizes the traded volume across all series, and enables market makers to balance variations in supply and demand of public orders at advantageous prices. The first objective avoids gross inconsistencies in implied volatility at the opening. The second objective satisfies an obvious purpose for an exchange. The final objective currently is accomplished by **round-robin** assignment of **market** makers to the required offsetting positions at the opening. This paper describes an optimum procedure for simultaneously accomplishing all of the above objectives. (4 Refs)
 Subfile: C
Descriptors: financial data processing; optimisation; securities trading
Identifiers: optimum strategies; opening trading; options; security; public bids; opening prices; volatility; option series; traded volume optimisation; market makers; supply; demand; public orders; prices; round-robin assignment
Class Codes: C1290D (Systems theory applications in economics and business); C7120 (Financial computing)

Abstract: ...objective satisfies an obvious purpose for an exchange. The final objective currently is accomplished by **round-robin** assignment of **market** makers to the required offsetting positions at the opening. This paper describes an optimum procedure...

12/3K/4 (Item 4 from file: 349) <u>Links</u>
   Fulltext available through: <u>Order File History</u>
PCT FULLTEXT
00422198
METHOD AND APPARATUS FOR AUTOMATED OPENING OF OPTIONS EXCHANGE
PROCEDE ET DISPOSITIF D'OUVERTURE AUTOMATIQUE D'UN MARCHE D'OPTIONS

Patent Applicant/Patent Assignee:

• **OPTIMARK TECHNOLOGIES INC**

Inventor(s):

• **RICKARD John T**

• **LUPIEN William A**

	Country	Number	Kind	Date
Patent	WO	9812659	A1	19980326
Application	WO	97US15665		19970908
Priorities	US	96717387		19960920

Designated States: (Protection type is "Patent" unless otherwise stated - for applications prior to 2004)
AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY,
CA, CH, CN, CU, CZ, DE, DK, EE, ES, FI,
GB, GE, GH, HU, ID, IL, IS, JP, KE, KG,
KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV,
MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT,
RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM,
TR, TT, UA, UG, UZ, VN, YU, ZW, GH, KE,
LS, MW, SD, SZ, UG, ZW, AM, AZ, BY, KG,
KZ, MD, RU, TJ, TM, AT, BE, CH, DE, DK,
ES, FI, FR, GB, GR, IE, IT, LU, MC, NL,
PT, SE, BF, BJ, CF, CG, CI, CM, GA, GN,
ML, MR, NE, SN, TD, TG

Publication Language: English
Filing Language:
Fulltext word count: 10112
Detailed Description:

...public orders at the opening price.

The present method of accomplishing this goal is a
round-robin assignment of the residual contracts to each
market maker. This method of assignment often results in
SUBSTITUTE SHEET (RULE 26)
undesirable and inefficient... ...made to meet these desires in the allocation
of public order residual balances. As each **market** maker
has unique desires, the present **round-robin** allocation of
the residual balance in public orders may not improve, and
could possibly worsen...maker.

ExampleB
To illustrate the relative performance of the optimum
assignment with respect to the **round-robin** assignment of
public order imbalances to **market** makers, we consider the
following examples. We assume there are ten option
series, with 30... ...per market maker in @ is
721 for the optimum assignment, and, 4,529 for the **round
robin** assignment. The corresponding rms error per **market**
maker in @ is 135 and 544, respectively.

As a second ...per market maker in @ is 74
for the optimum assignment, and 5,514 for the **round-robin**
assignment. The corresponding rms error per **market** maker
in @ is 158 and 527, respectively.

These examples demonstrate the substantial improvement in
the...

21/9,K/1 (Item 1 from file: 624) Links
McGraw-Hill Publications

```
00756952
 DINGELL   CHALLENGES   SEC OVER PERMANENT APPROVAL OF CSE'S DEALER
     PREFERENCING PROGRAM
MH
Securities Week, Vol. 23, No. 14, Pg 1
April8, 1996
JOURNAL CODE:  SW
ISSN:  0149-3582
WORD COUNT:  668

TEXT:
```

Rep. John Dingell (D-MI), the ranking Democrat on the House Commerce committee, last week held the SEC's feet to the fire over its recent permanent approval of the Cincinnati Stock Exchange's controversial dealer preferencing program.

Expressing his ``serious reservations about your agency's actions,'' Dingell called on SEC chairman Arthur Levitt Jr. to explain, among other things, why clients ``should have to tolerate a practice that benefits broker-dealers at the customers' expense.''

Dingell joined the NYSE in criticizing the Cincinnati program for internalizing orders. Dingell said he had received complaints ``that the (Cincinnati) preferencing pilot has not added depth or liquidity to the CSE market, but rather has resulted in the CSE's becoming a facility for CSE members to print internalized trades that do not interact with any other market interest to the detriment of investors.''

Dingell added that ``it has been suggested that the 30 second order exposure period has added to the CSE's `extraordinarily--and ever increasing(ly)'--high rate of Intermarket Trading System cancellations.'' Dingell requested that the SEC provide him with data on these cancellations and its analysis of ``their impact on investors and on the market.''

The SEC, in its order granting permanent approval to the Cincinnati program, concluded that the CSE's pilot program had generally added depth and liquidity to the market, as well as increasing its order flow. As such, it said that dealer preferencing, as supplemented by the order handling policies that the CSE proposed to increase exposure of customer limit orders, ``is not necessarily inconsistent with the attainment of best execution of customer orders, the maintenance of fair and orderly markets, or the protection of investors and the public interest.''
The SEC added that ``to the extent that preferencing does not have the effect of increasing order interaction, it fulfills the other national market system goalssuch as furthering competition among brokers and dealers, among exchange markets and markets other than exchange markets.''

In approving the preferencing program, the SEC also removed restrictions placed on the dealer preferencing program during its pilot phase that prohibited dealers from making cash payments for order flow. The SEC also removed previous restrictions on the number of stocks in which a single Cincinnati dealer is permitted to register (previously the number had been 350).

The CSE program provides dealers with the ability to retain and execute their internal order flow at the national best bid or offer, provided that public limit orders at the same price on the CSE book are executed first.

To that end, the preferencing program permits **CSE dealers** to internalize **order** flow by eliminating time

priority between **CSE dealers**. The **dealer** may
interact with a public **order** it represents as agent by either taking
the contra-side of the trade as principal (a ``paired order trade''), or
crossing the order with another customer order its represents as agent (an
``agency cross.'').

Among order handling changes approved by the SEC--which the
CSE said would improve exposure of customer orders, and which the NYSE has
criticized as essentially meaningless--is a policy that will require that
in ``greater than minimum variation markets,'' a preferencing dealer must
immediately execute market orders routed for execution on the CSE ``at an
improved price or expose the orders on the exchange for a minimum of thirty
seconds to give other market participants an opportunity to provide an
improved price.''

A preferencing dealer may expose a market order by
representing the orders at an improved price to the dealer's CSE quote, or
by placing the order on the CSE's central limit order book at an improved
price.

In a related development that is also, though less
controversial, the SEC has also given it approval to the permanent status
of the Boston Stock Exchange's competing specialist system. (See story page
4).

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COMPANY NAMES: Boston Stock Exchange ; Cincinnati Stock Exchange ; D MI ;
  House Commerce committee ; NYSE

II. Inventor Search

A. Dialog

[File 347] **JAPIO** Dec 1976-2008/Oct(Updated 090220)
(c) 2009 JPO & JAPIO. All rights reserved.

[File 348] **EUROPEAN PATENTS** 1978-200911
(c) 2009 European Patent Office. All rights reserved.

[File 349] **PCT FULLTEXT** 1979-2009/UB=20090129|UT=20090122
(c) 2009 WIPO/Thomson. All rights reserved.

[File 350] **Derwent WPIX** 1963-2008/UD=200914
(c) 2009 Thomson Reuters. All rights reserved.

```
Set       Items    Description
S1         276     S  AU=(OBRECHT, W? OR OBRECHT W?)
S2           0     S  S1 AND (SELLER? OR VENDOR?)
S3           0     S  S1 AND MERCHANT?
S4           2     S  S1 AND BID?
S5           1     S  S1 AND GOODS
S6           0     S  S1 AND AU=WELLS
S7         190     S  S1 AND (PRODUC? OR MANUFACT?)
S8           0     S  S7 AND RANK?
```

[File 47] **Gale Group Magazine DB(TM)** 1959-2009/Mar 09
(c) 2009 Gale/Cengage. All rights reserved.

[File 635] **Business Dateline(R)** 1985-2009/Mar 18
(c) 2009 ProQuest Info&Learning. All rights reserved.

[File 570] **Gale Group MARS(R)** 1984-2009/Feb 25
(c) 2009 Gale/Cengage. All rights reserved.

[File 387] **The Denver Post** 1994-2009/Mar 16
(c) 2009 Denver Post. All rights reserved.

[File 471] **New York Times Fulltext** 1980-2009/Mar 17
(c) 2009 The New York Times. All rights reserved.

[File 492] **Arizona Repub/Phoenix Gaz** 19862002/Jan 06
*File 492: File 492 is closed (no longer updating). Use Newsroom, Files 989 and 990, for current records.

[File 494] **St LouisPost-Dispatch** 1988-2009/Mar 17

[File 631] **Boston Globe** 1980-2009/Mar 18

[File 633] **Phil.Inquirer** 1983-2009/Mar 17

[File 638] **Newsday/New York Newsday** 1987-2009/Mar 17

[File 640] **San Francisco Chronicle** 1988-2009/Mar 15

[File 641] **Rocky Mountain News** Jun 1989-2009/Jan 16
*File 641: This file has ceased updating

[File 702] **Miami Herald** 1983-2009/Mar 17

[File 703] **USA Today** 1989-2009/Mar 17

[File 704] **(Portland)The Oregonian** 1989-2009/Mar 15

[File 713] **Atlanta J/Const.** 1989-2009/Mar 08

[File 714] **(Baltimore) The Sun** 1990-2009/Mar 15

[File 715] **Christian Sci.Mon.** 1989-2009/Mar 16

[File 725] **(Cleveland)Plain Dealer** Aug 1991-2009/Mar 17

[File 735] **St. Petersburg Times** 1989- 2009/Mar 15

[File 477] **Irish Times** 1999-2009/Mar 18

[File 710] **Times/Sun.Times(London)** Jun 1988-2009/Mar 17

[File 711] **Independent(London)** Sep 1988-2006/Dec 12
*File 711: This file does not update. See NewsRoom for full daily coverage from many European sources.

[File 756] **Daily/Sunday Telegraph** 2000-2009/Mar 17
(c) 2009 Telegraph Group. All rights reserved.

[File 757] **Mirror Publications/Independent Newspapers** 2000-2009/Mar 18
(c) 2009. All rights reserved.

[File 15] **ABI/Inform(R)** 1971-2009/Mar 17
(c) 2009 ProQuest Info&Learning. All rights reserved.

[File 9] **Business & Industry(R)** Jul/1994-2009/Mar 16
(c) 2009 Gale/Cengage. All rights reserved.

[File 610] **Business Wire** 1999-2009/Mar 18
(c) 2009 Business Wire. All rights reserved.
File 610: File 610 now contains data from 3/99 forward. Archive data (1986-2/99) is available in File 810.

[File 810] **Business Wire** 1986-1999/Feb 28
(c) 1999 Business Wire . All rights reserved.

[File 275] **Gale Group Computer DB(TM)** 1983-2009/Feb 20
(c) 2009 Gale/Cengage. All rights reserved.

[File 624] **McGraw-Hill Publications** 1985-2009/Mar 18
(c) 2009 McGraw-Hill Co. Inc. All rights reserved.

[File 621] **Gale Group New Prod.Annou.(R)** 1985-2009/Feb 11
(c) 2009 Gale/Cengage. All rights reserved.

[File 636] **Gale Group Newsletter DB(TM)** 1987-2009/Feb 24
(c) 2009 Gale/Cengage. All rights reserved.

[File 613] **PR Newswire** 1999-2009/Mar 18
(c) 2009 PR Newswire Association Inc. All rights reserved.
File 613: File 613 now contains data from 5/99 forward. Archive data (1987-4/99) is available in File 813.

[File 813] **PR Newswire** 1987-1999/Apr 30
(c) 1999 PR Newswire Association Inc. All rights reserved.

[File 16] **Gale Group PROMT(R)** 1990-2009/Feb 24
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File 16: UD/banner does not reflect last processed date

[File 160] **Gale Group PROMT(R)** 1972-1989
(c) 1999 The Gale Group. All rights reserved.

[File 634] **San Jose Mercury** Jun 1985-2009/Mar 15
(c) 2009 San Jose Mercury News. All rights reserved.

[File 148] **Gale Group Trade & Industry DB** 1976-2009/Mar 04
(c) 2009 Gale/Cengage. All rights reserved.
File 148: The CURRENT feature is not working in File 148. See HELP NEWS148.

[File 20] **Dialog Global Reporter** 1997-2009/Mar 17
(c) 2009 Dialog. All rights reserved.

[File 625] **American Banker Publications** 1981-2008/Jun 26
File 625: This file no longer updates. Use Newsroom Files 989 and 990 for current records.

[File 268] **Banking Info Source** 1981-2009/Mar W2

[File 485] **Accounting & Tax DB** 1971-2009/Mar W1

[File 267] **Finance & Banking Newsletters** 2008/Sep 29

[File 35] **Dissertation Abs Online** 1861-2009/Jan

[File 583] **Gale Group Globalbase(TM)** 1986-2002/Dec 13
File 583: This file is no longer updating as of 12-13-2002.

[File 65] **Inside Conferences** 1993-2009/Mar 17

[File 2] **INSPEC** 1898-2009/Mar W2

[File 474] **New York Times Abs** 1969-2009/Mar 17

[File 475] **Wall Street Journal Abs** 1973-2009/Mar 17

[File 99] **Wilson Appl. Sci & Tech Abs** 1983-2009/Feb

[File 256] **TecInfoSource** 82-2009/Aug

?

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Set      Items   Description
S1           4   S AU=(OBRECHT, W? OR OBRECHT W?)
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III. Text Search Results from Dialog (Full Text dbs)

A. Full-Text Databases – PATENT

[File 349] **PCT FULLTEXT** 1979-2009/UB=20090129|UT=20090122
(c) 2009 WIPO/Thomson. All rights reserved.

[File 348] **EUROPEAN PATENTS** 1978-200911
(c) 2009 European Patent Office. All rights reserved.

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Set     Items   Description
S1      360954  S (LAST OR PREVIOUS OR PRIOR OR MOST()(IMMEDIATE OR RECENT) OR
LATEST)(7N)(OFFER? ? OR REQUEST? ? OR INQUIR??? OR ENQUIR? OR CONTACT? ? OR BID? ?
OR INTERACTION? OR TRANSACTION? OR PURCHAS? OR QUOTE? ? OR RFP OR RFPS OR
SUBMISSION? OR SUBMIT? OR PARTICIPATION? ? OR OPPORTUNIT???)
S2      194092  S (TIME? ? OR PERIOD? ? OR INTERVAL? ?)(6N)(PASSED OR PASSING OR
ELAPSED OR BETWEEN OR AFTER OR BEFORE OR PRIOR OR (GONE OR WENT)()(BY OR ON) OR
SINCE OR FOLLOWING)
S3        9664  S (PRIORIT? OR RANK??? OR (SET OR SETS OR SETTING OR PLACE OR
PLACES OR PLACING OR PLACEMENT OR PUT OR PUTTING OR PUTS OR LIST? OR ARRANG? OR
ASSIGN?)(3W)(ORDER OR SEQUEN?)) (4N)(SELLER? ? OR VENDOR OR SALESMEN OR
SALESPERSON? OR SALESLAD? OR AGENT? ? OR OFFEROR? OR SUPPLIER OR DISTRIBUTOR? OR
WHOLESALER? OR JOBBER? OR MIDDLEMAN OR MIDDLEMEN OR DEALER OR AUCTION(2N)(USER? OR
PARTICIPANT? OR PLAYER?) OR MEMBER? ? OR BUSINESS?? OR MERCHANT? ? OR MANUFACTURER?
OR MERCHANDISER? OR TRADER? OR TRADESPERSON? OR TRADESMAN OR TRADESMEN OR MARKETER?
? OR BIDDER? )
S4          35  S S2(6N)S3
S5           1  S S4 NOT AY>1997
S6       37764  S ((LAST OR PREVIOUS OR PRIOR OR MOST()(IMMEDIATE OR RECENT) OR
LATEST)(7N)ORDER?) NOT S1
S7       21834  S (TIME? ? OR PERIOD? ? OR INTERVAL? ?)(6N)(PASSED OR PASSING OR
ELAPSED OR BETWEEN OR AFTER OR BEFORE OR PRIOR OR (GONE OR WENT)()(BY OR ON) OR
SINCE OR FOLLOWING)
S8         289  S (PRIORIT? OR RANK??? OR (SET OR SETS OR SETTING OR PLACE OR
PLACES OR PLACING OR PLACEMENT OR PUT OR PUTTING OR PUTS OR LIST? OR ARRANG? OR
ASSIGN?)(3W)(ORDER OR SEQUEN?)) (4N)(SELLER? ? OR VENDOR OR SALESMEN OR
SALESPERSON? OR SALESLAD? OR AGENT? ? OR OFFEROR? OR SUPPLIER OR DISTRIBUTOR? OR
WHOLESALER? OR JOBBER? OR MIDDLEMAN OR MIDDLEMEN OR DEALER OR AUCTION(2N)(USER? OR
PARTICIPANT? OR PLAYER?) OR MEMBER? ? OR BUSINESS?? OR MERCHANT? ? OR MANUFACTURER?
OR MERCHANDISER? OR TRADER? OR TRADESPERSON? OR TRADESMAN OR TRADESMEN OR MARKETER?
? OR BIDDER? )
S9           2  S S8(3N)S7
S10          0  S S9 NOT AY>1997
S11        445  S (ROUND()ROBIN)(7N)(SALES OR SELLER? OR MARKET? OR DISTRIBUT? OR
INTERACTION? OR AUCTION OR BID??? OR MERCHANDISING OR TRADING)
S12         68  S S11 NOT AY>1997
```

12/3K/4 (Item 4 from file: 349) Links
  Fulltext available through: Order File History
PCT FULLTEXT

00422198
METHOD AND APPARATUS FOR AUTOMATED OPENING OF OPTIONS EXCHANGE
PROCEDE ET DISPOSITIF D'OUVERTURE AUTOMATIQUE D'UN MARCHE D'OPTIONS

Patent Applicant/Patent Assignee:

• **OPTIMARK TECHNOLOGIES INC**

Inventor(s):

• **RICKARD John T**

• **LUPIEN William A**

	Country	Number	Kind	Date
Patent	WO	9812659	A1	19980326
Application	WO	97US15665		19970908
Priorities	US	96717387		19960920

Designated States: (Protection type is "Patent" unless otherwise stated - for applications prior to 2004)
AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY,
CA, CH, CN, CU, CZ, DE, DK, EE, ES, FI,
GB, GE, GH, HU, ID, IL, IS, JP, KE, KG,
KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV,
MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT,
RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM,
TR, TT, UA, UG, UZ, VN, YU, ZW, GH, KE,
LS, MW, SD, SZ, UG, ZW, AM, AZ, BY, KG,
KZ, MD, RU, TJ, TM, AT, BE, CH, DE, DK,
ES, FI, FR, GB, GR, IE, IT, LU, MC, NL,
PT, SE, BF, BJ, CF, CG, CI, CM, GA, GN,
ML, MR, NE, SN, TD, TG

Publication Language: English
Filing Language:
Fulltext word count: 10112
Detailed Description:

...public orders at the opening price.

The present method of accomplishing this goal is a
round-robin assignment of the residual contracts to each
market maker. This method of assignment often results in
SUBSTITUTE SHEET (RULE 26)
undesirable and inefficient... ...made to meet these desires in the allocation
of public order residual balances. As each **market** maker
has unique desires, the present **round-robin** allocation of

the residual balance in public orders may not improve, and could possibly worsen...maker.

ExampleB
To illustrate the relative performance of the optimum assignment with respect to the **round-robin** assignment of public order imbalances to **market** makers, we consider the following examples. We assume there are ten option series, with 30... ...per market maker in @ is 721 for the optimum assignment, and, 4,529 for the **round robin** assignment. The corresponding rms error per **market** maker in @ is 135 and 544, respectively.

As a second ...per market maker in @ is 74 for the optimum assignment, and 5,514 for the **round-robin** assignment. The corresponding rms error per **market** maker in @ is 158 and 527, respectively.

These examples demonstrate the substantial improvement in the...

12/3K/2 (Item 2 from file: 349) Links
   Fulltext available through: Order File History
PCT FULLTEXT

00434917
NETWORK ADAPTOR DRIVER WITH DESTINATION BASED ORDERING
CIRCUIT DE COMMANDE D'UN ADAPTATEUR DE RESEAU DOTE D'UNE CAPACITE D'ORDONNANCEMENT FONCTION DE LA DESTINATION

Patent Applicant/Patent Assignee:

• **3COM CORPORATION**

Inventor(s):

• **SHERER William Paul**

• **CONNERY Glenn**

	Country	Number	Kind	Date
Patent	WO	9825381	A1	19980611
Application	WO	97US22620		19971203
Priorities	US	9632124		19961205

	US	97850906		19970502

Designated States: (Protection type is "Patent" unless otherwise stated - for applications prior to 2004)
AU, CA, GB, JP, AT, BE, CH, DE, DK, ES,
FI, FR, GB, GR, IE, IT, LU, MC, NL, PT,
SE

Publication Language: English
Filing Language:
Fulltext word count: 3488

Detailed Description:

...and sends one (or a
group) of packets from all queues containing packets, in the
round-robin order. This approach **distributes** packets to all
destination without regard to the order at which packets to
different destinations...

?

B. Full-Text Databases – NON-PATENT

[File 20] **Dialog Global Reporter** 1997-2009/Mar 21
(c) 2009 Dialog. All rights reserved.

[File 387] **The Denver Post** 1994-2009/Mar 20
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[File 471] **New York Times Fulltext** 1980-2009/Mar 20
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[File 492] **Arizona Repub/Phoenix Gaz** 19862002/Jan 06
(c) 2002 Phoenix Newspapers. All rights reserved.
File 492: File 492 is closed (no longer updating). Use Newsroom, Files 989 and 990, for current records.

[File 494] **St LouisPost-Dispatch** 1988-2009/Mar 20
(c) 2009 St Louis Post-Dispatch. All rights reserved.

[File 631] **Boston Globe** 1980-2009/Mar 20
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[File 633] **Phil.Inquirer** 1983-2009/Mar 21
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[File 638] **Newsday/New York Newsday** 1987-2009/Mar 20
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[File 640] **San Francisco Chronicle** 1988-2009/Mar 20
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[File 641] **Rocky Mountain News** Jun 1989-2009/Jan 16
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File 641: This file has ceased updating

[File 702] **Miami Herald** 1983-2009/Mar 21
(c) 2009 The Miami Herald Publishing Co. All rights reserved.

[File 703] **USA Today** 1989-2009/Mar 19
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[File 714] **(Baltimore) The Sun** 1990-2009/Mar 19
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[File 715] **Christian Sci.Mon.** 1989-2009/Mar 19
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[File 725] **(Cleveland)Plain Dealer** Aug 1991-2009/Mar 20

[File 735] **St. Petersburg Times** 1989- 2009/Mar 20

[File 477] **Irish Times** 1999-2009/Mar 21

[File 710] **Times/Sun.Times(London)** Jun 1988-2009/Mar 18

[File 711] **Independent(London)** Sep 1988-2006/Dec 12
File 711: This file does not update. See NewsRoom for full daily coverage from many European sources.

[File 756] **Daily/Sunday Telegraph** 2000-2009/Mar 20

[File 757] **Mirror Publications/Independent Newspapers** 2000-2009/Mar 21

```
Set     Items    Description
S1    1480365   S ((LAST OR PREVIOUS OR PRIOR OR MOST()(IMMEDIATE OR RECENT) OR
LATEST)(7N)(OFFER? ? OR REQUEST? ? OR INQUIR??? OR ENQUIR? OR CONTACT? ? OR BID? ?
OR INTERACTION? OR TRANSACTION? OR PURCHAS? OR QUOTE? ? OR RFP OR RFPS OR
SUBMISSION? OR SUBMIT? OR PARTICIPATION? ? OR OPPORTUNIT??? OR ORDER?))
S2     161651   S (TIME? ? OR PERIOD? ? OR INTERVAL? ?)(6N)(PASSED OR PASSING OR
ELAPSED OR BETWEEN OR AFTER OR BEFORE OR PRIOR OR (GONE OR WENT)()(BY OR ON) OR
SINCE OR FOLLOWING)
S3       1119   S (PRIORIT? OR RANK??? OR (SET OR SETS OR SETTING OR PLACE OR
PLACES OR PLACING OR PLACEMENT OR PUT OR PUTTING OR PUTS OR LIST? OR ARRANG? OR
ASSIGN? OR ALLOCAT?)(3W)(ORDER OR SEQUEN? OR SCHEDUL? OR QUEUE? ?)) (4N)(SELLER? ?
OR VENDOR OR SALESMEN OR SALESPERSON? OR SALESLAD? OR AGENT? ? OR OFFEROR? OR
SUPPLIER OR DISTRIBUTOR? OR WHOLESALER? OR JOBBER? OR MIDDLEMAN OR MIDDLEMEN OR
DEALER OR AUCTION(2N)(USER? OR PARTICIPANT? OR PLAYER?) OR MEMBER? ? OR BUSINESS??
OR MERCHANT? ? OR MANUFACTURER? OR MERCHANDISER? OR TRADER? OR TRADESPERSON? OR
TRADESMAN OR TRADESMEN OR MARKETER? ? OR BIDDER? )
S4        176   S (ROUND()ROBIN)(7N)(SALES OR SELLER? OR MARKET? OR DISTRIBUT? OR
INTERACTION? OR AUCTION OR BID??? OR MERCHANDISING OR TRADING)
S5          1   S S2(3N)S3
S6         36   S S4 NOT PY>1997
```

[File 635] **Business Dateline(R)** 1985-2009/Mar 21

[File 570] **Gale Group MARS(R)** 1984-2009/Feb 27

[File 15] **ABI/Inform(R)** 1971-2009/Mar 21

[File 9] **Business & Industry(R)** Jul/1994-2009/Mar 21

[File 610] **Business Wire** 1999-2009/Mar 21
File 610: File 610 now contains data from 3/99 forward. Archive data (1986-2/99) is available in File 810.

[File 810] **Business Wire** 1986-1999/Feb 28

[File 275] **Gale Group Computer DB(TM)** 1983-2009/Feb 25

[File 624] **McGraw-Hill Publications** 1985-2009/Mar 20

[File 621] **Gale Group New Prod.Annou.(R)** 1985-2009/Feb 16

[File 636] **Gale Group Newsletter DB(TM)** 1987-2009/Feb 27

[File 613] **PR Newswire** 1999-2009/Mar 21
File 613: File 613 now contains data from 5/99 forward. Archive data (1987-4/99) is available in File 813.

[File 813] **PR Newswire** 1987-1999/Apr 30

[File 16] **Gale Group PROMT(R)** 1990-2009/Feb 27
File 16: UD/banner does not reflect last processed date

[File 160] **Gale Group PROMT(R)** 1972-1989

[File 634] **San Jose Mercury** Jun 1985-2009/Mar 20

[File 148] **Gale Group Trade & Industry DB** 1976-2009/Mar 06
File 148: The CURRENT feature is not working in File 148. See HELP NEWS148.

```
Set      Items   Description
S1    1397064   S ((LAST OR PREVIOUS OR PRIOR OR MOST()(IMMEDIATE OR RECENT) OR
LATEST)(7N)(OFFER? ? OR REQUEST? ? OR INQUIR??? OR ENQUIR? OR CONTACT? ? OR BID? ?
OR INTERACTION? OR TRANSACTION? OR PURCHAS? OR QUOTE? ? OR RFP OR RFPS OR
SUBMISSION? OR SUBMIT? OR PARTICIPATION? ? OR OPPORTUNIT??? OR ORDER?))
S2     202833   S (TIME? ? OR PERIOD? ? OR INTERVAL? ?)(6N)(PASSED OR PASSING OR
ELAPSED OR BETWEEN OR AFTER OR BEFORE OR PRIOR OR (GONE OR WENT)()(BY OR ON) OR
SINCE OR FOLLOWING)
S3       2188   S (PRIORIT? OR RANK??? OR (SET OR SETS OR SETTING OR PLACE OR
PLACES OR PLACING OR PLACEMENT OR PUT OR PUTTING OR PUTS OR LIST? OR ARRANG? OR
ASSIGN? OR ALLOCAT?)(3W)(ORDER OR SEQUEN? OR SCHEDUL? OR QUEUE? ?)) (4N)(SELLER? ?
OR VENDOR OR SALESMEN OR SALESPERSON? OR SALESLAD? OR AGENT? ? OR OFFEROR? OR
```

```
SUPPLIER OR DISTRIBUTOR? OR WHOLESALER? OR JOBBER? OR MIDDLEMAN OR MIDDLEMEN OR
DEALER OR AUCTION(2N)(USER? OR PARTICIPANT? OR PLAYER?) OR MEMBER? ? OR BUSINESS??
OR MERCHANT? ? OR MANUFACTURER? OR MERCHANDISER? OR TRADER? OR TRADESPERSON? OR
TRADESMAN OR TRADESMEN OR MARKETER? ? OR BIDDER? )
S4        407   S (ROUND()ROBIN)(7N)(SALES OR SELLER? OR MARKET? OR DISTRIBUT? OR
INTERACTION? OR AUCTION OR BID??? OR MERCHANDISING OR TRADING)
S5          1   S (ROUND()ROBIN)(7N)S2
S6         19   S S2(6N)S3
S7         19   S S6 NOT S5
S8         20   S S5 OR S6
S9          4   S S8 NOT PY>1997
S10         0   S (ROUND()ROBIN)(7N)DEALING?
S11         4   S SENIORITY(3N)S2
S12        24   S SENIORITY(3N)S1
S13        12   S S12 NOT PY>1997
S14        97   S S4 NOT PY>1997
S15      1817   S SENIORITY(6N)(SELLER? ? OR VENDOR OR SALESMEN OR SALESPERSON? OR
SALESLAD? OR AGENT? ? OR OFFEROR? OR SUPPLIER OR DISTRIBUTOR? OR WHOLESALER? OR
JOBBER? OR MIDDLEMAN OR MIDDLEMEN OR DEALER OR AUCTION(2N)(USER? OR PARTICIPANT? OR
PLAYER?) OR MEMBER? ? OR BUSINESS?? OR MERCHANT? ? OR MANUFACTURER? OR
MERCHANDISER? OR TRADER? OR TRADESPERSON? OR TRADESMAN OR TRADESMEN OR MARKETER? ?
OR BIDDER? )
S16        77   RD S14  (unique items)
S17         0   S S16(4N)S2
S18         0   S S14(3N)SENIORITY
S19         0   S S15(6N)S2
S20         2   S PRIORITY(5N)(CSE(5N)DEALER?)
S21         1   S ((CSE(3N)DEALER?)(9N)(BID OR ORDER OR OFFER))(4N)(SYSTEM? OR
METHOD? OR PRIORITY OR SENIORITY OR ASSIGN? OR ORDER()OF)
S22         0   S (ROTAT?(4N)(DEALER? OR SELLER? OR VENDOR?))(4N)((SENIORITY OR
PRIORIT?)(3N)(PREVIOUS OR PRIOR))
S23        37   S S2(4N)ROTAT?
S24         2   S S23(7N)S1
```

6/5,K/15 (Item 2 from file: 633) Links
Phil.Inquirer

06696045

**MILLIONS WENT FOR POOR WORK ON PHA ROOFS THE MONEY HAS FLOWED TO
CONTRACTORS FOR YEARS. SO HAS THE RAIN INSIDE TENANTS' APARTMENTS. AN
INTERNAL PHA AUDIT FOUND PROBLEMS IN THE BIDDING SYSTEM.**

Philadelphia Inquirer (PI) - TUESDAY July 14, 1992
By: Matthew Purdy and Richard Burke, INQUIRER STAFF WRITERS
Edition: FINAL **Section:** LOCAL **Page:** A01
Word Count: 1,717

Lead Paragraph:

Sarah Thomas says she had none of the soggy ceilings or leaky roofs
reported by many of the city's public housing residents - not until the
roofers showed up.

   Within two years after a contractor installed a new roof on her
apartment at the Johnson Homes housing complex in 1989, she says, rainwater
began running through holes bigger than a catcher's mitt in her bedroom
ceiling and chunks of plaster splattered the floor.

Caption:
PHOTO

 PHOTO (1)

 1. The problems began when the roofers showed up, said Sarah Thomas, whose bedroom ceiling has large
holes in it. (The Philadelphia Inquirer / WILLIAM F. STEINMETZ)

Descriptors: PROBE; PHILADELPHIA; HOUSING; GOVERNMENT; FINANCE; BUILDING; COST
-

...period.

   The audit said a select group of seven contractors was awarded contracts
through a **"round robin"** method of contracting, in which
requests for **bids** were never advertised.

   "Through the **round robin** format, contracts were awarded on
a recurring basis to those companies that agreed to perform...

...had never submitted a bid, the audit said. That company was included
because it had **bid** on previous **round robin** contracts.

   The seven roofing firms cited in PHA's internal audit as having
"participated in...

6/5,K/2 (Item 1 from file: 471) <u>Links</u>
New York Times Fulltext
02870439 **NYT Sequence Number:** 386162941002 **(USE FORMAT 7 FOR FULLTEXT)**
Connecticut Q&A: William Effros; Too Much House? Try a Five-Day Sale
JACQUELINE WEAVER
New York Times , Late Edition - Final ED , Col 1 , p 3

Sunday October 2 1994
Document Type: Newspaper ; Interview **Journal Code:** NYT **Language:** English
Record Type: Fulltext **Section Heading:** SECT13CN
Word Count: 1320

Lead Paragraph:

A LOT of homeowners who bought property when real estate prices peaked in
the 1980's have since sat back helplessly and watched as the equity in what
is in many cases a person's major asset, evaporate.
    William Effros, a computer consultant in Greenwich, was one. He had
bought a second home in Stamford for $350,000 as an investment, only to be
told months later that the market had wilted so fast and so hard that he
was unlikely to get even $225,000 on resale. Meanwhile, outsized mortgage
and other payments were proving a burden.

Captions: Photo: William Effros has a system: three days for talking, two days of open house and bidding.
(Helen Neafsey for The New York Times)

Descriptors: HOUSING; BIOGRAPHICAL INFORMATION
Personal Names: WEAVER, JACQUELINE; EFFROS, WILLIAM

...who comes first to be disadvantaged by someone coming later and bidding
$500 more. The **round robin** works from the high **bid**
down. I tell everyone there is an advantage to being the higher bidder
early. You...

21/9,K/1 (Item 1 from file: 624) Links
McGraw-Hill Publications

```
00756952
 DINGELL   CHALLENGES   SEC OVER PERMANENT APPROVAL OF CSE'S DEALER
    PREFERENCING PROGRAM
MH
Securities Week, Vol. 23, No. 14, Pg 1
April8, 1996
JOURNAL CODE:  SW
ISSN:  0149-3582
WORD COUNT:  668
```

TEXT:

Rep. John Dingell (D-MI), the ranking Democrat on the House Commerce committee, last week held the SEC's feet to the fire over its recent permanent approval of the Cincinnati Stock Exchange's controversial dealer preferencing program.

Expressing his ``serious reservations about your agency's actions,'' Dingell called on SEC chairman Arthur Levitt Jr. to explain, among other things, why clients ``should have to tolerate a practice that benefits broker-dealers at the customers' expense.''

Dingell joined the NYSE in criticizing the Cincinnati program for internalizing orders. Dingell said he had received complaints ``that the (Cincinnati) preferencing pilot has not added depth or liquidity to the CSE market, but rather has resulted in the CSE's becoming a facility for CSE members to print internalized trades that do not interact with any other market interest to the detriment of investors.''

Dingell added that ``it has been suggested that the 30 second order exposure period has added to the CSE's `extraordinarily--and ever increasing(ly)'--high rate of Intermarket Trading System cancellations.'' Dingell requested that the SEC provide him with data on these cancellations and its analysis of ``their impact on investors and on the market.''

The SEC, in its order granting permanent approval to the Cincinnati program, concluded that the CSE's pilot program had generally added depth and liquidity to the market, as well as increasing its order flow. As such, it said that dealer preferencing, as supplemented by the order handling policies that the CSE proposed to increase exposure of customer limit orders, ``is not necessarily inconsistent with the attainment of best execution of customer orders, the maintenance of fair and orderly markets, or the protection of investors and the public interest.''
The SEC added that ``to the extent that preferencing does not have the effect of increasing order interaction, it fulfills the other national market system goalssuch as furthering competition among brokers and dealers, among exchange markets and markets other than exchange markets.''

In approving the preferencing program, the SEC also removed restrictions placed on the dealer preferencing program during its pilot phase that prohibited dealers from making cash payments for order flow. The SEC also removed previous restrictions on the number of stocks in which a single Cincinnati dealer is permitted to register (previously the number had been 350).

The CSE program provides dealers with the ability to retain and execute their internal order flow at the national best bid or offer, provided that public limit orders at the same price on the CSE book are executed first.

To that end, the preferencing program permits **CSE dealers** to internalize **order** flow by eliminating time **priority** between **CSE dealers**. The **dealer** may interact with a public **order** it represents as agent by either taking the contra-side of the trade as principal (a ``paired order trade''), or crossing the order with another customer order its represents as agent (an ``agency cross.'').

Among order handling changes approved by the SEC--which the CSE said would improve exposure of customer orders, and which the NYSE has criticized as essentially meaningless--is a policy that will require that in ``greater than minimum variation markets,'' a preferencing dealer must immediately execute market orders routed for execution on the CSE ``at an improved price or expose the orders on the exchange for a minimum of thirty seconds to give other market participants an opportunity to provide an improved price.''

A preferencing dealer may expose a market order by representing the orders at an improved price to the dealer's CSE quote, or by placing the order on the CSE's central limit order book at an improved price.

In a related development that is also, though less controversial, the SEC has also given it approval to the permanent status of the Boston Stock Exchange's competing specialist system. (See story page 4).

COMPANY NAMES: Boston Stock Exchange ; Cincinnati Stock Exchange ; D MI ; House Commerce committee ; NYSE

IV. <u>Text Search Results from Dialog (Abstract dbs)</u>

A. Abstract Databases -- Patent

[File 347] **JAPIO** Dec 1976-2008/Oct(Updated 090220)
(c) 2009 JPO & JAPIO. All rights reserved.

[File 350] **Derwent WPIX** 1963-2008/UD=200916
(c) 2009 Thomson Reuters. All rights reserved.

```
Set      Items    Description
S1       16166    S (LAST OR PREVIOUS OR PRIOR OR MOST()(IMMEDIATE OR RECENT) OR
LATEST)(7N)(OFFER? ? OR REQUEST? ? OR INQUIR??? OR ENQUIR? OR CONTACT? ? OR BID? ?
OR INTERACTION? OR TRANSACTION? OR PURCHAS? OR QUOTE? ? OR RFP OR RFPS OR
SUBMISSION? OR SUBMIT? OR PARTICIPATION? ? OR OPPORTUNIT???)
S2        1655    S (TIME? ? OR PERIOD? ? OR INTERVAL? ?)(6N)(PASSED OR PASSING OR
ELAPSED OR BETWEEN OR AFTER OR BEFORE OR PRIOR OR (GONE OR WENT)()(BY OR ON) OR
SINCE OR FOLLOWING)
S3           8    S (PRIORIT? OR RANK??? OR (SET OR SETS OR SETTING OR PLACE OR
PLACES OR PLACING OR PLACEMENT OR PUT OR PUTTING OR PUTS OR LIST? OR ARRANG? OR
ASSIGN?)(3W)(ORDER OR SEQUEN?)) (4N)(SELLER? ? OR VENDOR OR SALESMEN OR
SALESPERSON? OR SALESLAD? OR AGENT? ? OR OFFEROR? OR SUPPLIER OR DISTRIBUTOR? OR
WHOLESALER? OR JOBBER? OR MIDDLEMAN OR MIDDLEMEN OR DEALER OR AUCTION(2N)(USER? OR
PARTICIPANT? OR PLAYER?) OR MEMBER? ? OR BUSINESS?? OR MERCHANT? ? OR MANUFACTURER?
OR MERCHANDISER? OR TRADER? OR TRADESPERSON? OR TRADESMAN OR TRADESMEN OR MARKETER?
? OR BIDDER? )
S4         659    S S1(3N)S2
S5          28    S S4(3N)(SELLER? ? OR VENDOR OR SALESMEN OR SALESPERSON? OR
SALESLAD? OR AGENT? ? OR OFFEROR? OR SUPPLIER OR DISTRIBUTOR? OR WHOLESALER? OR
JOBBER? OR MIDDLEMAN OR MIDDLEMEN OR DEALER OR AUCTION(2N)(USER? OR PARTICIPANT? OR
PLAYER?) OR MEMBER? ? OR BUSINESS?? OR MERCHANT? ? OR MANUFACTURER? OR
MERCHANDISER? OR TRADER? OR TRADESPERSON? OR TRADESMAN OR TRADESMEN OR MARKETER? ?
OR BIDDER? )
S6           6    S S5 NOT AY>1997
S7           6    S S6 NOT S3
S8          46    S (ROUND()ROBIN)(7N)(SALES OR SELLER? OR MARKET? OR DISTRIBUT? OR
INTERACTION? OR AUCTION? OR BID??? OR MERCHANDISING OR TRADING)
S9          20    S S8 NOT AY>1997
```

3/3,K/1 (Item 1 from file: 350) <u>Links</u>
  Fulltext available through: <u>Order File History</u>
Derwent WPIX

0014996558 & & *Drawing available*
WPI Acc no: 2005-344442/200535
XRPX Acc No: N2005-281402
Method of conducting sealed offer online auction of goods, involves sealing all offers received from each bidder from other bidders, and arranging offers in order according to offer placement time
Patent Assignee: LI S C (LISC-I); LONGMAN R (LONG-I)
Inventor: LI S C; LONGMAN R

<div align="center">Patent Family (1 patents, 1 & countries)</div>

Patent Number	Kind	Date	Application Number	Kind	Date	Update	Type
US 20050091144	A1	20050428	US 2003696441	A	20031028	200535	B

Priority Applications (no., kind, date): US 2003696441 A 20031028

<div align="center">Patent Details</div>

Patent Number	Kind	Lan	Pgs	Draw	Filing Notes
US 20050091144	A1	EN	16	7	

...of conducting sealed offer online auction of goods, involves sealing all offers received from each bidder from other bidders, and arranging offers in order according to offer placement time Alerting Abstract ...NOVELTY - The offers received from each **bidder** within auction deadline are **arranged** in an **order** based to offer placement time, while sealing offers from other bidders. The seller is made... Original Publication Data by AuthorityArgentina**Publication No.** ...**Original Abstracts:**kept sealed from other bidders, but are open to only the seller of the item. **These** offers are **arranged** in an **order** not by price, but according to the time when the offers are placed. The seller... ...**Claims:**kept sealed from other bidders, but are open to only the seller of the item; **c)** all offers are **arranged** in an **order** according to the time when the offers are placed; d) the auction has a scheduled...

3/3,K/7 (Item 7 from file: 350) Links
   Fulltext available through: Order File History
Derwent WPIX

0006148874 & & *Drawing available*
WPI Acc no: 1992-391651/199248
Related WPI Acc No: 2000-208174
XRPX Acc No: N1992-298738
Automated voice system for telephone system - relieves agent of duties of waiting on hold and provides wrap-up statements
Patent Assignee: INVENTIONS INC (INVE-N)
Inventor: SZLAM A; WARNER C L

<div align="center">Patent Family (10 patents, 14 & countries)</div>

Patent Number	Kind	Date	Application Number	Kind	Date	Update	Type
EP 515068	A2	19921125	EP 1992304214	A	19920511	199248	B
CA 2068681	A	19921121	CA 2068681	A	19920514	199306	E
US 5309505	A	19940503	US 1991703158	A	19910520	199417	E
EP 515068	A3	19940831	EP 1992304214	A	19920511	199531	E
US 5511112	A	19960423	US 1991703158	A	19910520	199622	E
			US 1994236225	A	19940429		
CA 2314152	A1	19921121	CA 2068681	A	19920514	200058	E
			CA 2314152	A	19920514		
CA 2068681	C	20001031	CA 2068681	A	19920514	200060	E
EP 515068	B1	20011205	EP 1992304214	A	19920511	200203	E
			EP 1999203802	A	19920511		
DE 69232250	E	20020117	DE 69232250	A	19920511	200213	E
			EP 1992304214	A	19920511		
CA 2314152	C	20030318	CA 2068681	A	19920514	200325	E
			CA 2314152	A	19920514		

Priority Applications (no., kind, date): US 1991703158 A 19910520; US 1994236225 A 19940429

Patent Details

Patent Number	Kind	Lan	Pgs	Draw	Filing Notes	
EP 515068	A2	EN	31	4		
Regional Designated States,Original	AT BE CH DE DK ES FR GB GR IT LI NL PT SE					
CA 2068681	A	EN				
US 5309505	A	EN	25	4		
EP 515068	A3	EN				
US 5511112	A	EN	22	4	Continuation of application	US 1991703158
					Continuation of patent	US 5309505
CA 2314152	A1	EN			Division of application	CA 2068681
CA 2068681	C	EN				
EP 515068	B1	EN			Related to application	EP 1999203802
					Related to patent	EP 982916
Regional Designated States,Original	AT BE CH DE DK ES FR GB GR IT LI NL PT SE					
DE 69232250	E	DE			Application	EP 1992304214
					Based on OPI patent	EP 515068
CA 2314152	C	EN			Division of application	CA 2068681

Original Publication Data by AuthorityArgentina**Publication No. ...Claims:**and from said call pacing algorithm, a prediction of time remaining until each of said **agents** becomes available; **ranking** said **agents** based upon said time remaining for each **agent**; determining a **priority** status for each party who is placed on hold; ranking said parties who are placed **on** hold based upon said **priority** status; matching a party on hold with an **agent**, based upon said **ranking** of said **agents** and said **ranking** of said parties; and providing, to a

said party on hold, a statement of said **time** remaining for **a** said **agent** which was matched to said party.

9/3,K/5 (Item 5 from file: 347) <u>Links</u>
  Fulltext available through: <u>Order File History</u>
JAPIO
05532019 **Image available**
SYSTEM FOR DISTRIBUTION TO LARGE NUMBER OF TERMINALS

Pub. No.: 09-146819 [JP 9146819 A]
Published: June 06, 1997 (19970606)
Inventor: AOYANAGI TORU
Applicant: NEC CORP [000423] (A Japanese Company or Corporation), JP (Japan)
Application No.: 07-302823 [JP 95302823]
Filed: November 21, 1995 (19951121)

ABSTRACT
...1 to 3-n) and selects distribution process tasks (1-1 to 1-n) by **round-robin** system scheduling, thereby making a **distribution** request. Each delivery process task when receiving the distribution request registers one record to a... Di01

9/5,K/2 (Item 1 from file: 624) <u>Links</u>
McGraw-Hill Publications

```
00756952
 DINGELL   CHALLENGES   SEC OVER PERMANENT APPROVAL OF CSE'S DEALER
     PREFERENCING PROGRAM
MH
Securities Week, Vol. 23, No. 14, Pg 1
April8, 1996
JOURNAL CODE:  SW
ISSN:  0149-3582
WORD COUNT:  668

  Copyright 1996 The McGraw-Hill Companies

COMPANY NAMES:  Boston Stock Exchange ; Cincinnati Stock Exchange ; D MI ;
  House Commerce committee ; NYSE

TEXT:

...To that end, the preferencing program permits CSE dealers to internalize
order  flow  by  eliminating time priority between CSE
dealers.  The  dealer may interact with a public order it represents
as agent by either taking the contra...
```

20/3,K/1 (Item 1 from file: 9) <u>Links</u>
Business & Industry(R)
(c) 2009 Gale/Cengage. All rights reserved.
03170848 Supplier Number: 109318438 **(USE FORMAT 7 OR 9 FOR FULLTEXT)**
Market Structure Debate Heats Up at Hearing.

Securities Industry News
October 27, 2003
Document Type: Journal **ISSN:** 1089-6333 (United States)
Language: English **Record Type:** Fulltext
Word Count: 694 **(USE FORMAT 7 OR 9 FOR FULLTEXT)**

TEXT:


```
...preferencing) rule that permits CSE dealers to execute customers' orders
without regard to the time priority of other CSE
dealer orders, bids and offers, the CSE introduced  elements
of a Nasdaq-like market structure into an exchange for the first time...
```

B. Abstract Databases – NON-PATENT

[File 35] **Dissertation Abs Online** 1861-2009/Feb

[File 583] **Gale Group Globalbase(TM)** 1986-2002/Dec 13
*File 583: This file is no longer updating as of 12-13-2002.

[File 65] **Inside Conferences** 1993-2009/Mar 19

[File 2] **INSPEC** 1898-2009/Mar W3

[File 474] **New York Times Abs** 1969-2009/Mar 21

[File 475] **Wall Street Journal Abs** 1973-2009/Mar 21

[File 99] **Wilson Appl. Sci & Tech Abs** 1983-2009/Feb

[File 256] **TecInfoSource** 82-2009/Aug

```
Set      Items    Description
S1       35449    S (LAST OR PREVIOUS OR PRIOR OR MOST()(IMMEDIATE OR RECENT) OR
LATEST)(7N)(OFFER? ? OR REQUEST? ? OR INQUIR??? OR ENQUIR? OR CONTACT? ? OR BID? ?
OR INTERACTION? OR TRANSACTION? OR PURCHAS? OR QUOTE? ? OR RFP OR RFPS OR
SUBMISSION? OR SUBMIT? OR PARTICIPATION? ? OR OPPORTUNIT??? OR ORDER?)
S2        1027    S (TIME? ? OR PERIOD? ? OR INTERVAL? ?)(6N)(PASSED OR PASSING OR
ELAPSED OR BETWEEN OR AFTER OR BEFORE OR PRIOR OR (GONE OR WENT)()(BY OR ON) OR
SINCE OR FOLLOWING)
S3           1    S (PRIORIT? OR RANK??? OR (SET OR SETS OR SETTING OR PLACE OR
PLACES OR PLACING OR PLACEMENT OR PUT OR PUTTING OR PUTS OR LIST? OR ARRANG? OR
ASSIGN? OR ALLOCAT?)(3W)(ORDER OR SEQUEN? OR SCHEDUL? OR QUEUE? ?)) (4N)(SELLER? ?
OR VENDOR OR SALESMEN OR SALESPERSON? OR SALESLAD? OR AGENT? ? OR OFFEROR? OR
SUPPLIER OR DISTRIBUTOR? OR WHOLESALER? OR JOBBER? OR MIDDLEMAN OR MIDDLEMEN OR
DEALER OR AUCTION(2N)(USER? OR PARTICIPANT? OR PLAYER?) OR MEMBER? ? OR BUSINESS??
OR MERCHANT? ? OR MANUFACTURER? OR MERCHANDISER? OR TRADER? OR TRADESPERSON? OR
TRADESMAN OR TRADESMEN OR MARKETER? ? OR BIDDER? )
S4         125    S (ROUND()ROBIN)(7N)(SALES OR SELLER? OR MARKET? OR DISTRIBUT? OR
INTERACTION? OR AUCTION OR BID??? OR MERCHANDISING OR TRADING)
S5          52    S S4 NOT PY>1997
S6         287    S S1(3N)S2
S7           1    S S6(3N)QUEU?

?
```

3/3,K/1 (Item 1 from file: 35) <u>Links</u>
Dissertation Abs Online

01497425 ORDER NO: AADNN-08425
PRICE DYNAMICS IN LIMIT ORDER MARKETS

Author: PARLOUR, CHRISTINE ANN
Degree: PH.D.
Year: 1996
Corporate Source/Institution: QUEEN'S UNIVERSITY AT KINGSTON (CANADA) (0283)
Source: Volume 5704A of Dissertations Abstracts International.
PAGE 1772 . 116 PAGES
ISBN: 0-612-08425-6

    ...is in effect, at any given price, there is a queuing problem. Because of price **priority, traders** can post "better" prices to jump the queue. Because of the uncertain evolution of the...

5/5,K/10 (Item 5 from file: 2) <u>Links</u>
INSPEC

06697221 **INSPEC Abstract Number:** C9710-1290D-044
Title: Optimum strategies for opening trading in options
Author Rickard, J.T.; Lupien, W.A.
Author Affiliation: OptiMark Technol. Inc., Durango, CO, USA
Conference Title: Conference Record of Thirtieth Asilomar Conference on Signals, Systems and Computers (Cat. No.96CB36004)   **Part** vol.1   p. 451-8 vol.1
Editor(s): Singh, A.
Publisher: IEEE Comput. Soc. Press , Los Alamitos, CA, USA
Publication Date: 1997 **Country of Publication:** USA   2 vol. xxiii+1416 pp.
ISBN: 0 8186 7646 9   **Material Identity Number:** XX97-01333
U.S. Copyright Clearance Center Code: 1058-6393/97/$10.00
Conference Title: Conference Record of The Thirtieth Asilomar Conference on Signals, Systems and Computers
Conference Sponsor: Naval Postgraduate School, Monterey, CA; San Jose State Univ.; IEEE Signal Process. Soc
Conference Date: 3-6 Nov. 1996   **Conference Location:** Pacific Grove, CA, USA

Language: English   **Document Type:** Conference Paper (PA)
Treatment: Theoretical (T)
Abstract: When opening multiple series of options in a common underlying security, variations in public bids and offers across the series, and variations in the price of the underlying security during the time required to cycle through the opening, produce discrepancies in opening prices with respect to a single implied volatility. Ideally, all option series should be opened simultaneously at a price that corresponds reasonably well to a consistent set of implied volatilities, optimizes the traded volume across all series, and enables market makers to balance variations in supply and demand of public orders at advantageous prices. The first objective avoids gross inconsistencies in implied volatility at the opening. The second objective

satisfies an obvious purpose for an exchange. The final objective currently is accomplished by round-robin assignment of market makers to the required offsetting positions at the opening. This paper describes an optimum procedure for simultaneously accomplishing all of the above objectives. (4 Refs)

Subfile: C
Descriptors: financial data processing; optimisation; securities trading
Identifiers: optimum strategies; opening trading; options; security; public bids; opening prices; volatility; option series; traded volume optimisation; market makers; supply; demand; public orders; prices; round-robin assignment
Class Codes: C1290D (Systems theory applications in economics and business); C7120 (Financial computing)
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Abstract: ...objective satisfies an obvious purpose for an exchange. The final objective currently is accomplished by **round-robin** assignment of **market** makers to the required offsetting positions at the opening. This paper describes an optimum procedure...

V. Additional Resources Searched

No additional results of relevance found in the additional databases identified in the cover correspondence.